



CF-86

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Howard W. Lutnick et al.  
Application No.: 10/699,858 Confirmation No.: 5127  
Filed : October 31, 2003  
For : KEYBOARD TRADING SYSTEM  
Group Art Unit : 2661

New York, New York  
August 1, 2006

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

TRANSMITTAL LETTER FOR FOURTH  
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

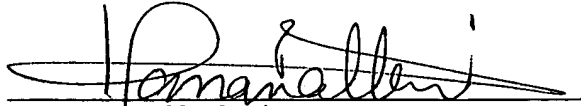
Sir:

Transmitted herewith is a Fourth Supplemental Information Disclosure Statement in the above-identified application. This Statement is submitted:

- ☐ within three months of the application filing date;
- ☒ more than three months from the application filing date but before the mailing date of the first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of this Statement requires no fee. However, if for any reason a fee is due, the Director is hereby authorized to charge payment of any fees required in connection with this Information Disclosure Statement to Deposit Account No. 06-1075 (Order No. 000741-0086). A duplicate copy of this letter is transmitted herewith.

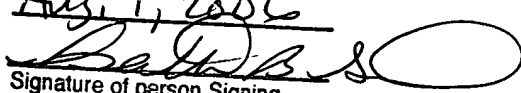
Respectfully submitted,



Hassan Albakri  
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I hereby certify that this correspondence  
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FOURTH SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98,  
applicants wish to call the attention of the Examiner to the  
following documents:

U.S. Patent Documents

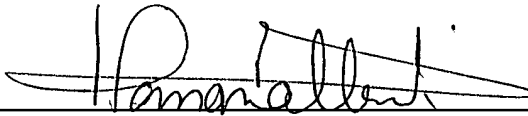
Iggulden et al.	5,579,002	(11/26/96)
Wolf et al.	5,668,358	(09/16/97)
Amro et al.	5,757,292	(05/26/98)
Jain et al.	6,343,278 B1	(01/29/02)
Houston	2002/0154038 A1	(10/24/02)

Foreign Patent Documents

Canon Inc.	JP 59184929	(10/20/84)
PAe. Michelis & Preissner	DE 19606467 A1	(08/28/97)
Ergodex	WO 01/69366 A2	(09/20/01)
Higginson	WO 03/026135 A1	(03/27/03)

The aforementioned documents are listed on the accompanying Form PTO/SB/08A (submitted in duplicate), and copies thereof are enclosed herewith. It is respectfully requested that these documents be (1) fully considered by the Patent and Trademark Office during examination of this application; and (2) printed on any patent which may issue on this application. Applicants respectfully request that a copy of Form PTO/SB/08A, as considered and initialed by the Examiner, be returned with the next communication.

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'Hassan Albakri', is written over a horizontal line.

Hassan Albakri  
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PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>Substitute for form 1449/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANTS</b>  (use as many sheets as necessary)				<b>Complete if known</b>	
				Application Number	10/699,858
				Confirmation No.	5127
				Filing Date	October 31, 2003
				First Named Inventor	Howard W. Lutnick et al.
				Art Unit	2661
				Examiner Name	Not yet assigned
Sheet	1	of	1	Attorney Docket Number	CF-86

U.S. PATENT DOCUMENTS					
Examiner initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Documents	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
		5,579,002	11/26/96	Iggulden et al.	
		5,668,358	09/16/97	Wolf et al.	
		5,757,292	05/26/98	Amro et al.	
		6,343,278 B1	01/29/02	Jain et al.	
		2002/0154038 A1	10/24/02	Houston	

Examiner Signature		Date Considered	
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FOREIGN PATENT DOCUMENTS						
Examiner initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Documents	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>1</sup> - Number <sup>2</sup> - Kind Code <sup>3</sup>				
		JP 59184929	10/20/84	Canon Inc.		
		DE 19606467 A1	08/28/97	PAe. Michelis & Preissner		
		WO 01/69366 A2	09/20/01	Ergodex		
		WO 03/026135 A1	03/27/03	Higginson		

NON PATENT LITERATURE DOCUMENTS			
Examiner initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>6</sup>

Examiner Signature		Date Considered	
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>6</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial

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Sheet	1	of	1



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